



## UTILITY

PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No.

500200.02

July 20, 2001

First Inventor or Application Identifier

Nathan R. Brown

Title

METHOD AND APPARATUS FOR CHEMICAL-MECHANICAL  
PLANARIZATION OF MICROELECTRONIC SUBSTRATES WITH A  
CARRIER AND MEMBRANE

Express Mail Label No.

EL 646072892 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Box Patent Application  
Commissioner of Patents  
Washington, D.C. 20231

1. ☒ Fee Transmittal Sheet (+ copy)  
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant(s) Claim(s) Small Entity Status

3. ☒ Specification [Total Pages] **26**  
(preferred arrangement set forth below)

- Descriptive Title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets] **6**

5. ☒ Oath or Declaration [Total Pages] **1**

- a. ☐ Newly executed (original or copy)

- b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)

- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet (37 C.F.R. 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer  
Program (Appendix)

8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- a. ☐ Computer-Readable Form (CRF)

- b. ☐ Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper

- c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)

10. ☐ Assignment Papers (cover sheet & document(s))

11. ☒ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)

12. ☐ English Translation Document (if applicable)

13. ☒ Preliminary Amendment Total Pages **2**

14. ☒ Return Receipt Postcard

15. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations

16. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

17. ☒ Other: Certificate of Express Mail  
Check; Copy of Rev. & Subst. POA

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment

☐ Continuation ☒ Divisional ☐ Continuation-In-Part (CIP) of prior Application No.: 09/366,406 Filed August 3, 1999

Prior application information: Examiner Sean Smith

Group / Art Unit 3729

- ☒ Incorporation By Reference (useable if box 5b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

## CORRESPONDENCE ADDRESS

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TYPED or PRINTED NAME Steven H. Arterberry

REGISTRATION NO. 46,314

SIGNATURE Steven Arterberry

Date 7/20/01

# FEE TRANSMITTAL SHEET (FOR FY 2001)

**Complete if Known**

Express Mail No.	EL 646072892 US
Filing Date	Concurrently Herewith
First Named Inventor	Nathan R. Brown
Group Art Unit	Not Yet Assigned
Examiner	Not Yet Assigned
Atty. Docket Number	500200.02

**METHOD OF PAYMENT (Check One)**

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☒ Check Enclosed

**FEE CALCULATION (Continued)**

**FEE CALCULATION**

**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
101	710	201	355	<input checked="" type="checkbox"/> Utility Filing Fee
106	320	206	160	<input type="checkbox"/> Design Filing Fee
108	710	208	355	<input type="checkbox"/> Reissue Filing Fee
114	150	214	75	<input type="checkbox"/> Provisional Filing Fee

**Subtotal (1)      \$710**

**2. EXTRA CLAIM FEES**

Current Claims	Prior	Extra	Fee	Fee Paid
Total 11	- 20	= 0	x \$	= \$ 0
Ind 1	- 3	= 0	x \$	= \$ 0
Multiple Dependent Claims		x	\$	\$
<b>Subtotal (2)</b>				<b>\$0</b>

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent Claim
109	80	209	40	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - Late filing fee or oath	\$
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$
139	130	139	130	Non-English specification	\$
147	2,520	147	2,520	For Filing a Request for Reexamination	\$
115	110	215	55	Extension for reply within first month	\$
116	390	216	195	Extension for reply within 2 <sup>nd</sup> month	\$
117	890	217	445	Extension for reply within 3 <sup>rd</sup> month	\$
118	1,390	218	695	Extension for reply within 4 <sup>th</sup> month	\$
128	1,890	280	945	Extension for reply within 5 <sup>th</sup> month	\$
120	310	220	155	Filing a brief in support of an appeal	\$
121	260	270	135	Request for oral hearing	\$
148	110	248	55	Terminal Disclaimer Fee	\$
140	10	240	55	Petition to revive - unavoidable	\$
141	1,240	241	620	Petition to revive - unintentional	\$
142	1,240	242	620	Utility/Reissue issue fee (+ advance copies)	\$
143	440	243	220	Design issue fee (+ advance copies)	\$
122	130	122	130	Petitions to the Commissioner	\$
123	50	123	50	Petitions related to provisional applications	\$
126	180	126	180	Submission of IDS	\$
581	40	81	40	Recording each patent assignment per property (times number of properties)	\$
179	710	279	355	Request for Continued Examination (RCE)	\$

Other fee (specify) \_\_\_\_\_ \$

**Subtotal (3)      \$ 0**

**Total Amount of Payment:      \$710**

**Submitted by:**

Name: Steven H. Arterberry

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Telephone: (206) 903-8800

Signature: 

Date: 7/20/01

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Nathan R. Brown Attorney Docket No.: 500200.02  
Filed : July 20, 2001  
Title : METHOD AND APPARATUS FOR CHEMICAL-MECHANICAL  
PLANARIZATION OF MICROELECTRONIC SUBSTRATES WITH A  
CARRIER AND MEMBRANE

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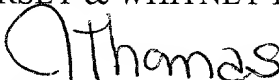
**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

Box Patent Application  
Commissioner of Patents  
Washington, D.C. 20231

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL 646072892 US, on July 20, 2001, addressed to Box Patent Application, Commissioner of Patents, Washington, DC 20231.

Respectfully submitted,  
DORSEY & WHITNEY LLP

  
\_\_\_\_\_  
/ for West Courier

SHA:asw

Enclosures:

Postcard  
Check  
PTO/SB/05 Utility Patent Application Transmittal  
Application Data Sheet  
Fee Transmittal Sheet (+ copy)  
General Authorization  
Preliminary Amendment  
Specification, Claims, Abstract (26 pages)  
6 Sheets of Drawings (Figures 1-8)  
Copy of Declaration  
Copy of Election and Power of Attorney  
Copy of Revocation and Substitute Power of Attorney  
Information Disclosure Statement  
Form PTO-1449